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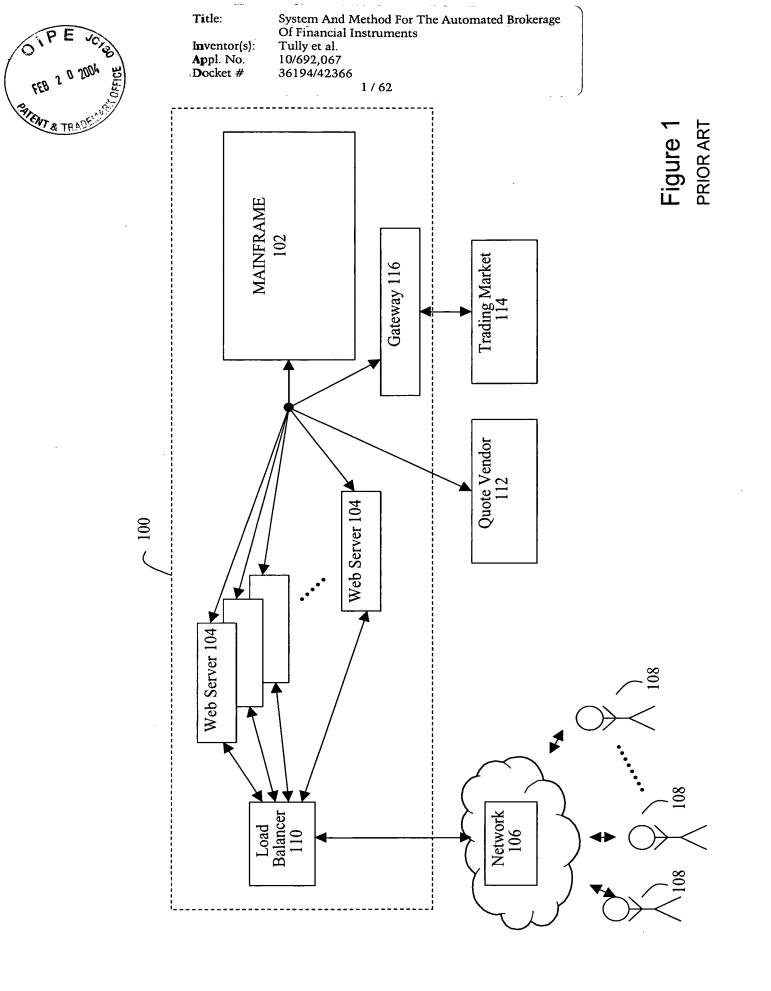
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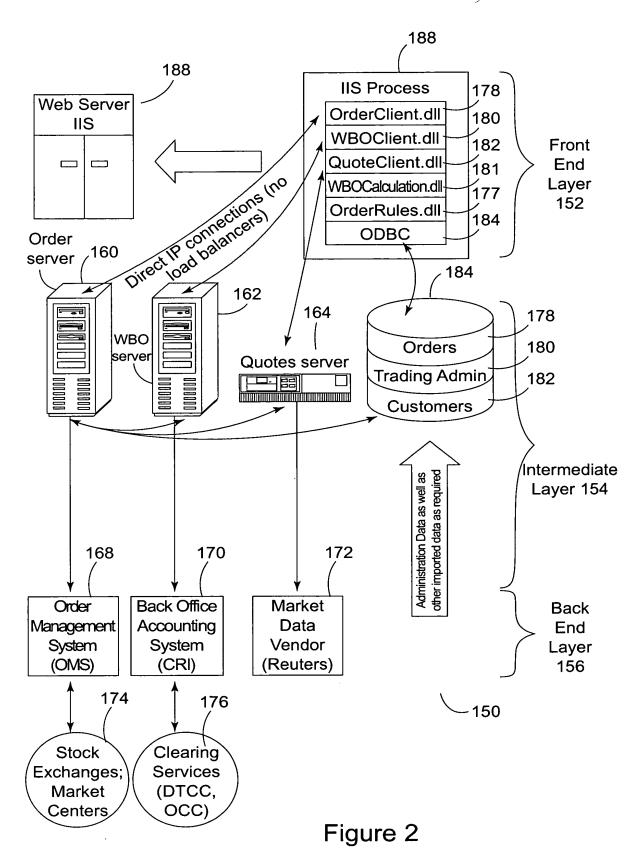
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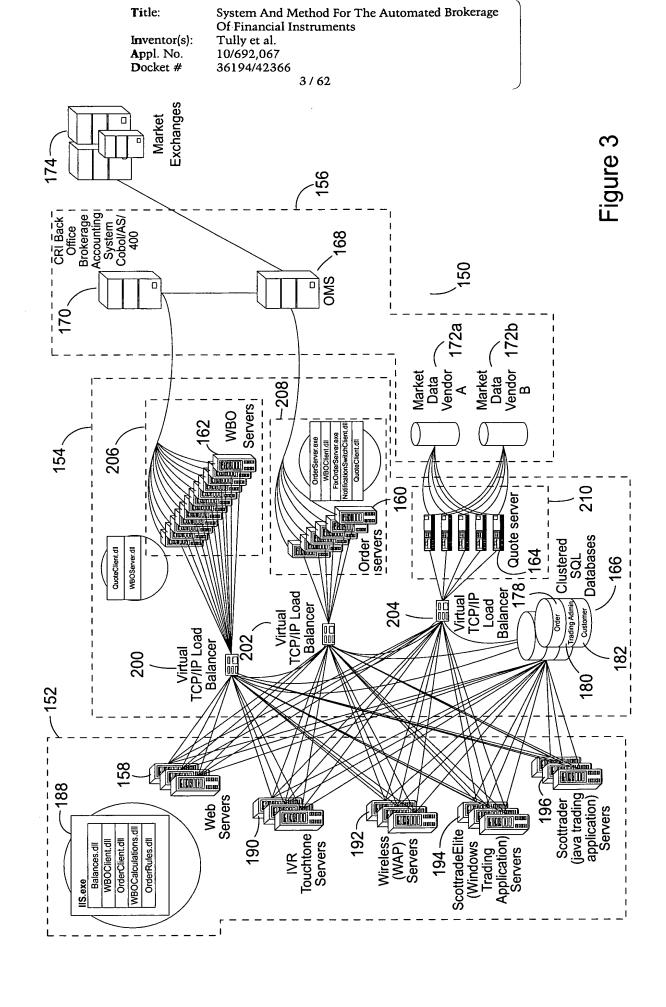


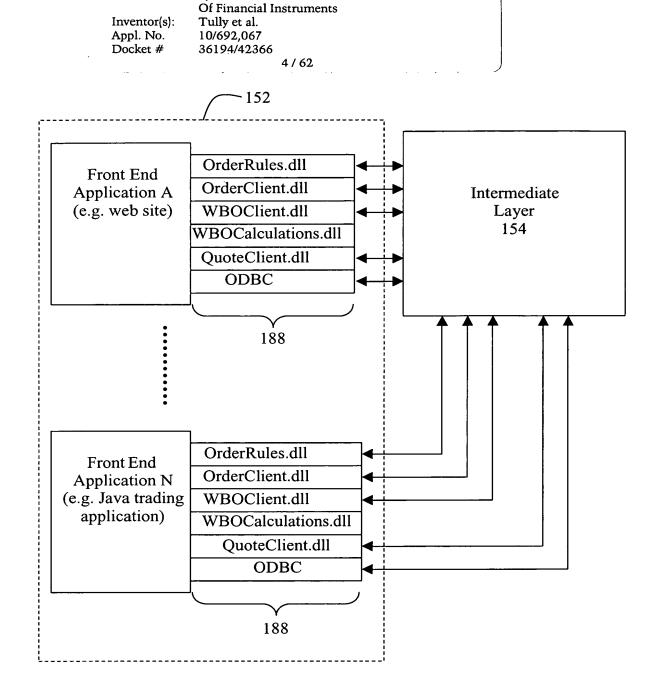
Title: System And Method For The Automated Brokerage

Of Financial Instruments

Inventor(s): Tully et al. Appl. No. 10/692,067 Docket # 36194/42366







System And Method For The Automated Brokerage

Title:

Figure 4

Inventor(s): Tully et al.
Appl. No. 10/692,067
Docket # 36194/42366

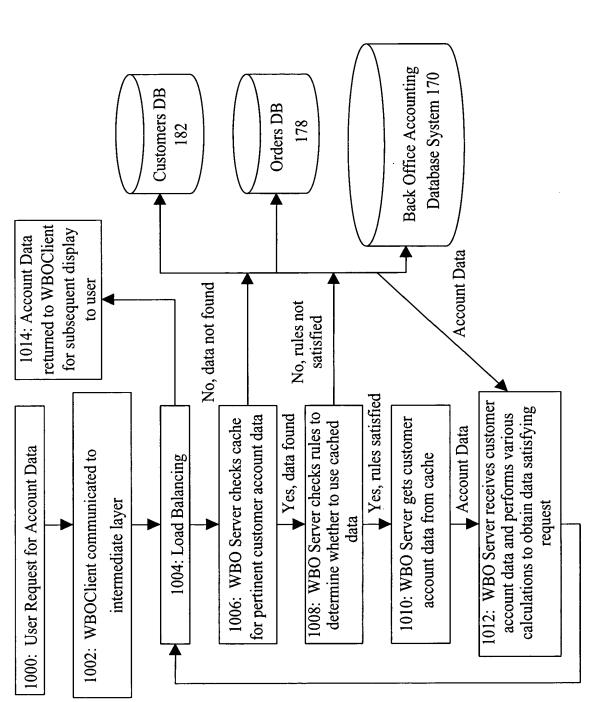
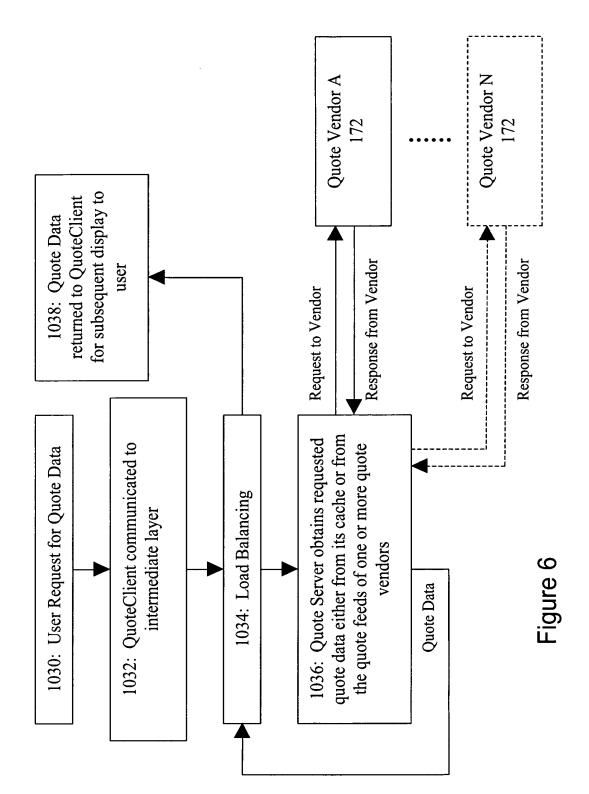


Figure 5

Title: System And Method For The Automated Brokerage Of Financial Instruments

Inventor(s): Tully et al. Appl. No. 10/692,067 Docket # 36194/4236

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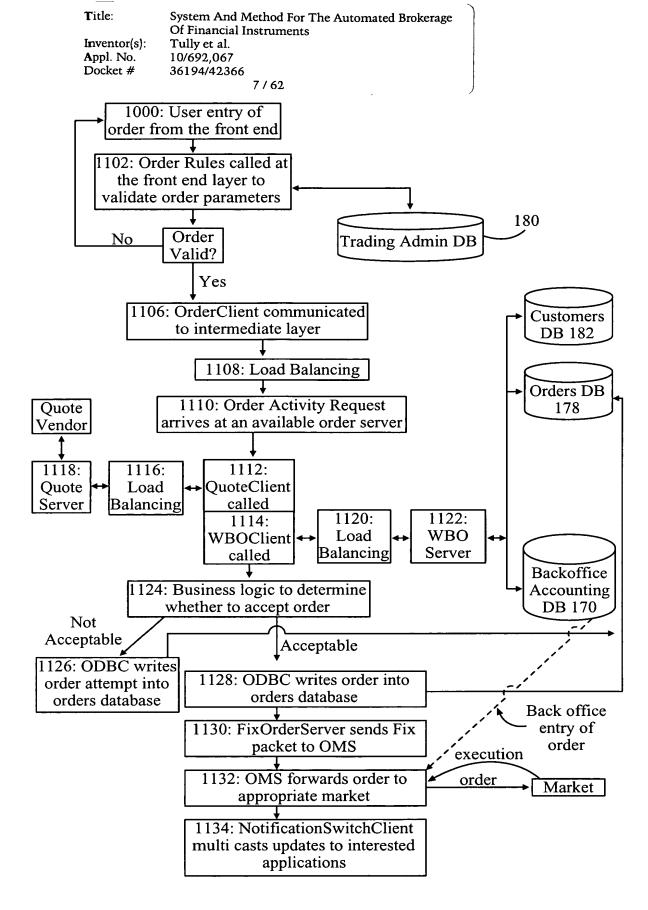


Figure 7

Title: System And Method For The Automated Brokerage Of Financial Instruments Tully et al. 10/692,067 36194/42366

Inventor(s): Appl. No. Docket #

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System And Method For The Automated Brokerage Of Financial Instruments Tully et al. 10/692,067 36194/42366 Title:

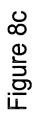
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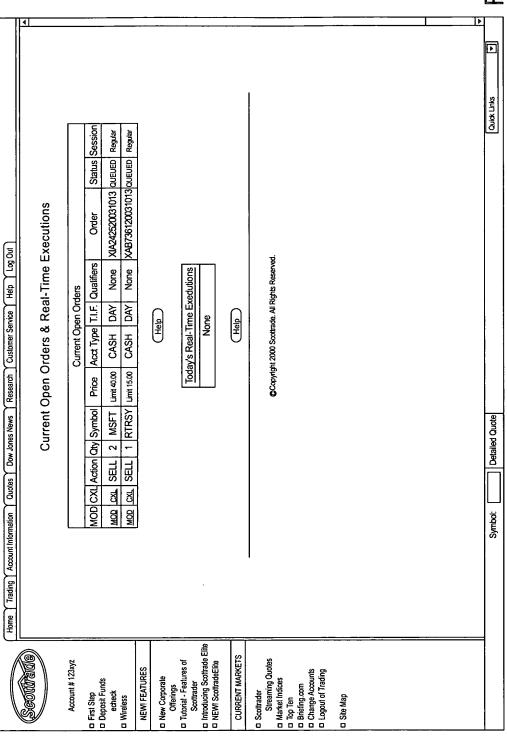
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Title: System And Method For The Automated Brokerage Of Financial Instruments

Inventor(s): Tully et al. Appl. No. 10/692,067

Docket # 36194/42366



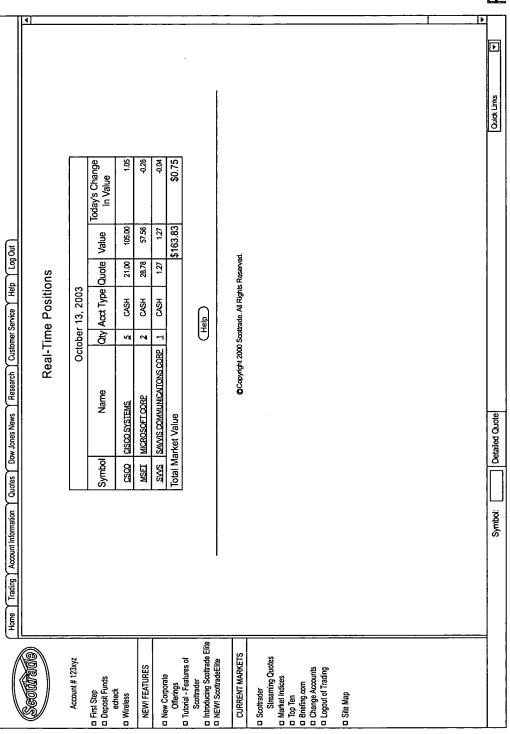


Title: System And Method For The Automated Brokerage Of Financial Instruments

Inventor(s): Appl. No. Tully et al. 10/692,067 Docket # 36194/42366

11/62

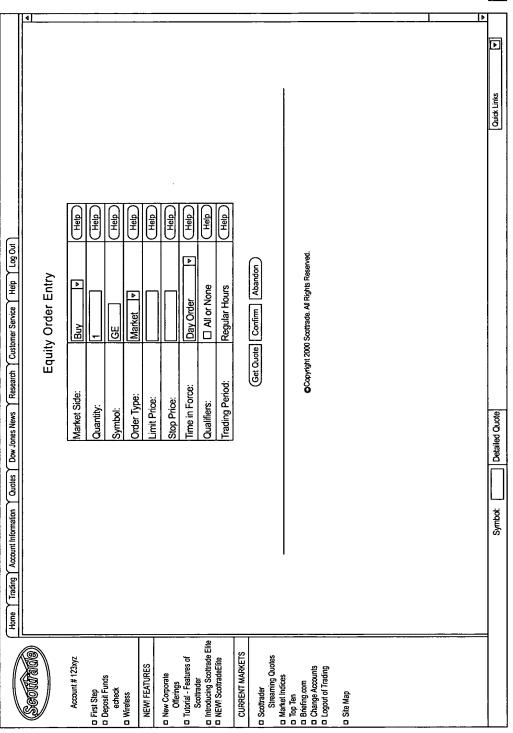
Figure 8d



Title: System And Method For The Automated Brokerage

Of Financial Instruments Tully et al. 10/692,067 36194/42366 Inventor(s): Appl. No. Docket #

Figure 8e



System And Method For The Automated Brokerage Of Financial Instruments Tully et al. 10/692,067 36194/42366 Title:

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Inventor(s): Appl. No. Docket #

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Figure 8g

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Title: System And Method For The Automated Brokerage

Of Financial Instruments

Inventor(s): Tully et al.
Appl. No. 10/692,067
Docket # 36194/42366

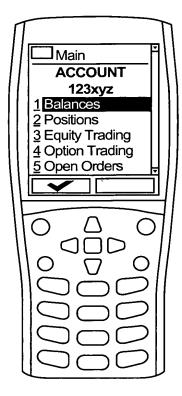


Figure 9(a)



Figure 9(c)

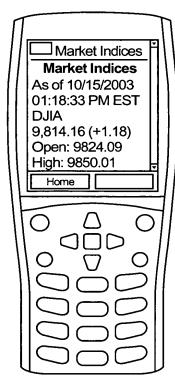


Figure 9(b)

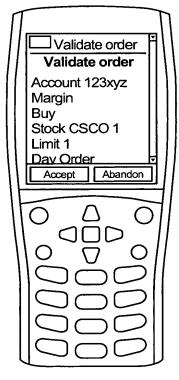


Figure 9(d)

Title: System And Method For The Automated Brokerage

Of Financial Instruments Inventor(s): Tully et al.

10/692,067 Appl. No. 36194/42366 Docket #



Figure 9(e)

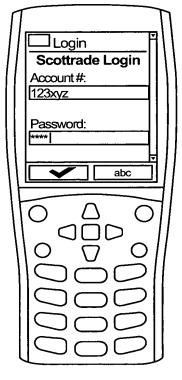


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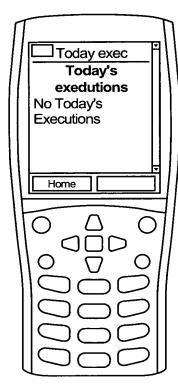


Figure 9(f)



Figure 9(h)

Title: System And Method For The Automated Brokerage

Of Financial Instruments

Inventor(s): Tully et al.
Appl. No. 10/692,067
Docket # 36194/42366



Figure 9(i)



Figure 9(k)

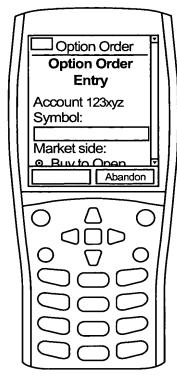


Figure 9(j)

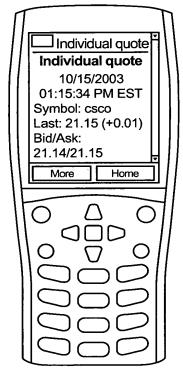


Figure 9(I)

Title: System And Method For The Automated Brokerage

Of Financial Instruments

Inventor(s): Tully et al.
Appl. No. 10/692,067
Docket # 36194/42366

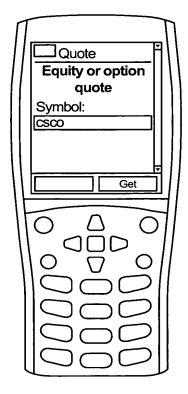


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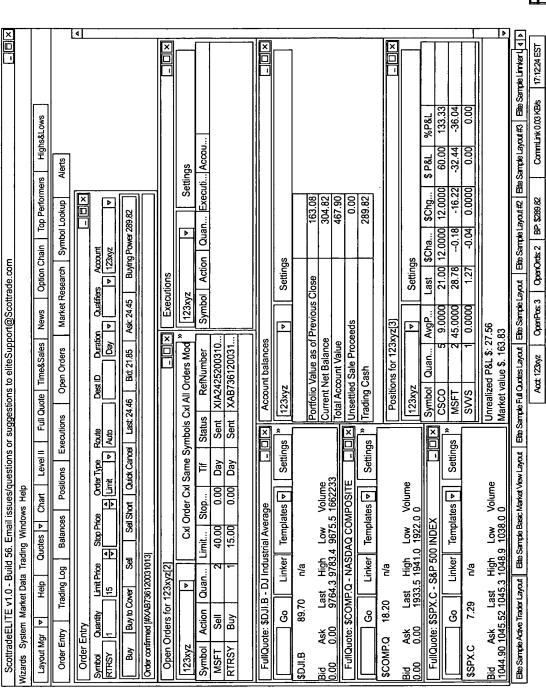


Figure 9(n)

System And Method For The Automated Brokerage Title: Of Financial Instruments

Inventor(s): Tully et al. 10/692,067

Appl. No. Docket # 36194/42366



System And Method For The Automated Brokerage Of Financial Instruments Tully et al. 10/692,067 36194/42366 20 / 62 Title:

Inventor(s): Appl. No. Docket #

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Inventor(s): Appl. No. Docket #

System And Method For The Automated Brokerage Of Financial Instruments Tully et al. 10/692,067 36194/42366

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System And Method For The Automated Brokerage

Of Financial Instruments

Inventor(s): Appl. No.

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System And Method For The Automated Brokerage Of Financial Instruments Tully et al. 10/692,067 36194/42366

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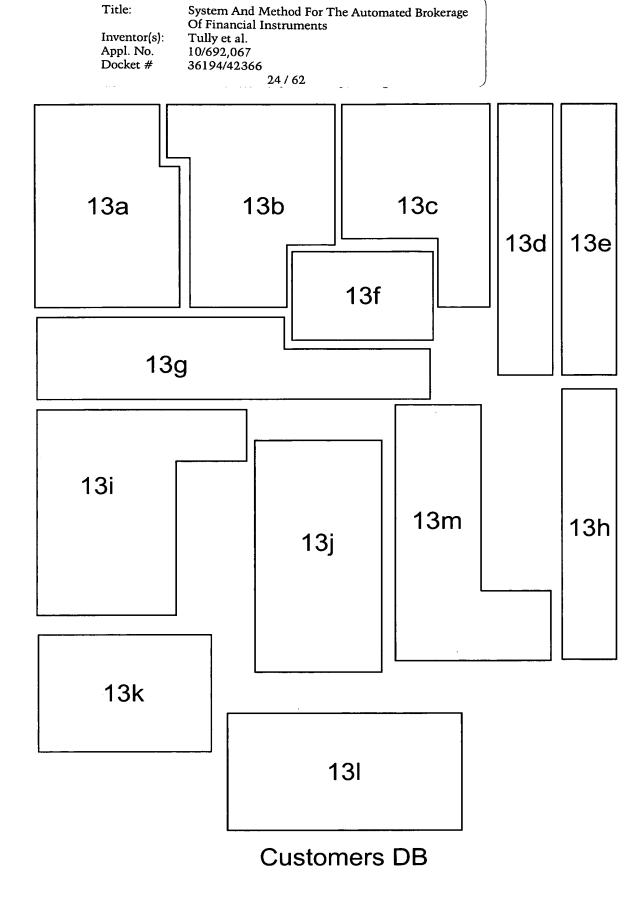


Figure 13

System And Method For The Automated Brokerage Of Financial Instruments Tully et al. Title:

Inventor(s): 10/692,067 36194/42366 Appl. No. Docket #

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updated	smalldatetime

fix	
account	char(8)
office_code	char(3)
password	varchar(10)
email	varchar(100)
ssn	char(9)
notification_method	tinyint
web_access	bit
web_trading	bit
sell_only	bit
invalid_email	bit
statements_online	bit
session_timeout	int
login_fails	int
last_access	datetime
proxy_delivery_status	tinyint
proxy_access_pin	varchar(4)
activation_date	smalldatetime
activated_by	varchar(6)
ivr_pin	varchar(4)
day_trader	bit
ivr_lockout	bit
last_updated	datetime
voice_callback	char(12)
agreement_status	char(4)

customers_without_ 2002111	•
account	char(8)
office_code	char(3)
password	varchar(10)
email	varchar(100)
ssn	char(9)
notification_method	tinyint
web_access	bit
web_trading	bit
sell_only	bit
invalid_email	bit
statements_online	bit
session_timeout	int
login_fails	int
last_acccess	datetime
proxy_delivery_status	tinyint
proxy_access_pin	varchar(4)
activation_date	smalldatetime
activated_by	varchar(6)
ivr_pin	varchar(4)
day_trader	bit
ivr_lockout	bit
last_updated	datetime
voice_callback	varchar(12)
agreement_status	char(4)
deactivation_datetime	
deactivation_reason_id	smallint

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9	Account office id	Trades	Trade_begin_date	Trade_end_date	Report_date	account_value	value_date	Posted_date		_						tbl pro quote status	- - -				signed_up_date	0 7 7	caricelleu_date effect cancellation date	
ver	왕왕	 																customer	pro_status	pro_status_old	signed	exchange	effect cancellat)
y_trader_buying_power	char(8) smalldatetime <pk></pk>	money	money	money	money	money	money	money	rement money		status_history	varchar(10)	varchar(1)	varchar(1)	datetime	varchar(6)	datetime	date datetime	datetime	varchar(15)				
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System And Method For The Automated Brokerage Of Financial Instruments Tully et al. Inventor(s): 10/692,067 36194/42366 Appl. No. Docket # 27/62 smalldatetime varchar(100) varchar(10) varchar(6) varchar(4) varchar(4) datetime char(3) char(9) **finyint** tbl_customer636 proxy_delivery_status notification_method statements_online proxy_access_pin session_timeout activation_date ast_access invalid_email ast_updated web_access activated_by web_trading office_code vr_lockout day_trader login_fails password sell_only account ivr_pin email SS varchar(100) varchar(100) datetime char(8) char(4) char(4) finyint new_proxy_delivery_status tinyint 約 tbl_proxy_status_change old_proxy_delivery_status new_proxy_access_pin varchar(8000) old_proxy_access_pin tbl_customer_note datetime datetime change_datetime char(8) new_email old_email account note_last_updated customer note id note_created 췽웕 char(8) account already_off note varchar(25) datetime char(8) char(8) account tbl_user last_modified_datetime varchar(150) bounced account parent display_name account child small

Title:

Figure 13c

char(12) char(4)

agreement_status

voice_callback

Title: System And Method For The Automated Brokerage
Of Financial Instruments

Inventor(s): Tully et al.
Appl. No. 10/692,067
Docket # 36194/42366

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profiles_origi	nal
customer	varchar(10)
broker	varchar(20)
first_name	varchar(50)
last_name	varchar(50)
address 1	varchar(40)
address 2	varchar(40)
city	varchar(30)
state	varchar(20)
zip	varchar(10)
pin	varchar(4)
voice_callback	varchar(20)
fax callback	varchar(20)
notification_method	varchar(20)
quote_balance	decimal(10,2)
group_number	int
ivr_trading	bit
Inc. trading	bit
pc_trading	bit
web_trading	bit
margin_agreement	bit
option_agreement	
touched	datetime
office_code	varchar(10)
password	varchar(10)
customer_type	varchar(40)
email	varchar(100)
reg_rep	varchar(10)
option_purchase	int
option_covered	inț
administrator	inț
cancel_flag	int
short_name	varchar(40)
admin_level	int
allow_place_trades	int
ivr_time	int
ssn	varchar(9)
scheme_name	varchar(20)
web_group	int
expiration_minutes	int
invalid_email	bit
AMEX_agreement	bit
AMEX_agreement_version	varchar(10)
AMEX_agreement_date	smalldatetime
OPRA_agreement	bit
OPRA_agreement_version	varchar(10)
IOPRA agreement date	smalldatetime
NYSE_agreement_version	bit
NYSE agreement version	varbinary(10)
NYSE_agreement_date	smalldatetime
cookies_time	smalldatetime
statements_online	bit
proxy_delivery_status	tinyint
proxy_access_pin	varchar(4)
day_trader	bit

Figure 13d

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customer varchar(10) broker varchar(20) first_name varchar(50) last_name varchar(50) last_name varchar(40) address_1 varchar(40) address_2 varchar(40) city varchar(30) state varchar(20) zip varchar(10) pin varchar(4) voice_callback varchar(20) fax_callback varchar(20) quote_balance decimal(10,2) group_number int iv_trading bit web_trading bit web_trading bit web_trading bit margin_agreement option_agreement option_agreement option_agreement option_sword varchar(10) password varchar(10) password varchar(10) password varchar(10) reg_rep varchar(40) email varchar(100) reg_rep varchar(40) email varchar(100) reg_rep varchar(40) email varchar(100) reg_rep varchar(40) int admin_level int allow_place_trades int int varchar(9) scheme_name varchar(20) web_group int expiration_minutes invalid_email bit AMEX_agreement_date OPRA_agreement_date OPRA_agreement_date OPRA_agreement_date OPRA_agreement_date OPRA_agreement_date OPRA_agreement_date OPRA_agreement_date OPRA_agreement_version AMEX_agreement_version AMEX_agreement_date OPRA_agreement_version OPRA_agreement_version NYSE_agreement_version varchar(50) smalldatetime bit varchar(50) smalldatetime smalldatetime smalldatetime smalldatetime proxy_delivery_status tinyint varchar(4) bit	20,102	· · · - · ·
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proxy_access_pin varchar(4)	Istatements_online	
	proxy_delivery_status	
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Figure 13e

System And Method For The Automated Brokerage Of Financial Instruments Tully et al. 10/692,067 36194/42366 Title:

Inventor(s): Appl. No. Docket #

agreement_status_opra_audit	ıs_opra_audit	agreement_status_nyse_audit	s_nyse_audit	g)
customer	char(8)	customer	char(8)	cristo
agreement_id	<u>i</u>	agreement_id	i.	agree
pro_status	tinyint	pro_status	finyint	pro_s
signed	tinyint	signed	finyint	signe
first_name	varchar(50)	first_name	varchar(50)	sqns
last_name	varchar(50)	last_name	varchar(50)	signa
address1	varchar(50)	address1	varchar(50)	signa
address2	varchar(50)	address2	varchar(50)	agen
city	varchar(50)	city	varchar(50)	title
state	char(2)	state	char(2)	title_c
zip	varchar(10)	diz	varchar(10)	chan
country	varchar(50)	country	varchar(50)	action
birthdate	datetime	change_datetime	datetime	user
change_datetime	datetime	action_performed	char(1)	
action_performed	char(1)	usemame	varchar(40)	
usemame	varchar(40)	amax_pro_status	tinyint	

Inventor(s): Tully et al. 10/692,067 36194/42366 Appl. No. Docket # 31 / 62 varchar(15) varchar(12) **HighActivityAccounts** tinyint ActivityCount int tbl_notification_type dtproperties notification_method_description account notification_method 쇩 int datetime tbl_customer_counts ヹヹ smalldatetime smalldatetime tbl customer counts id tbl new added account varchar(10) varchar(1) agreement_count customer_count record_date time_posted added_time account actions char(8) money tbl_account_3 account TYPE3 datetime int int datetime tbl_email_check_log invalid_emails_preprocessing varchar(100) datetime ĕ total_updated_email total_invalid_email Imported_date start_datetime end_datetime Checked duration email

System And Method For The Automated Brokerage Of Financial Instruments

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varchar(64)

objectid property

value

varchar(255) nvarchar(255)

> uvalue Ivalue

image

version

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Title:

Figure 13g

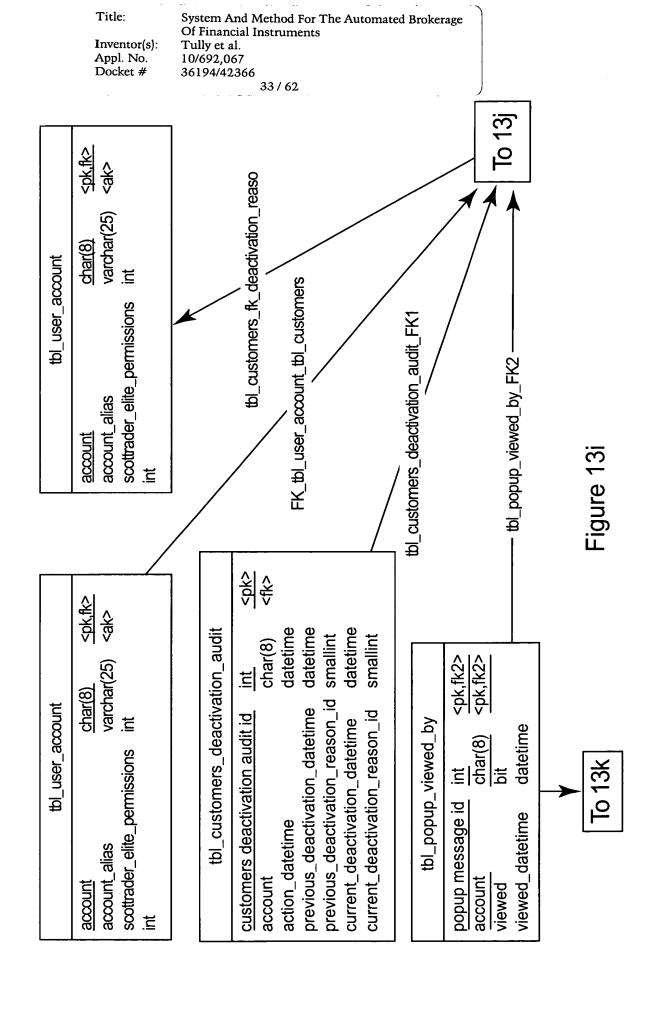
System And Method For The Automated Brokerage Of Financial Instruments Tully et al. 10/692,067 36194/42366

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profiles_backup_20021021_2000		
customer	varchar(10)	
broker	varchar(20)	
first name	varchar(50)	
last_name	varchar(50)	
address_1	varchar(40)	
address_2	varchar(40)	
city	varchar(30)	
state	varchar(20)	
zip	varchar(10)	
pin	varchar(4)	
voice_callback	varchar(20)	
fax callback	varchar(20)	
notification_method	varchar(20)	
quote_balance	decimal(10,2)	
laroup number	int	
ivr_trading	bit	
pc_trading	bit	
web_trading	bit	
margin_agreement	bit	
option_agreement	bit	
touched	datetime	
office_code	varchar(10)	
password	varchar(10)	
customer_type	varchar(40)	
email	varchar(100)	
reg_rep	varchar(10)	
option_purchase	int	
option_covered	int	
administrator	int	
cancel_flag	int	
short_name	varchar(40)	
admin_level	int int	
allow_place_trades	int	
ivr_time		
SSN Schome name	varchar(9) varchar(20)	
scheme_name web_group	int	
expiration_minutes	int	
invalid_email	bit	
AMEX_agreement	bit	
AMEX agreement version	varchar(10)	
AMEX_agreement_version AMEX_agreement_date OPRA_agreement	smalldatetime	
OPRA agreement	bit	
OPRA_agreement_version	varchar(10)	
OPRA_agreement_date	smalldatetime	
NYSE_agreement	bit	
NYSE_agreement_version	varbinary(10)	
NYSE_agreement_date	smalldatetime	
cookies time	smalldatetime	
statements online	bit	
proxy_delivery_status	tinyint	
proxy_access_pin	varchar(4)	
day_trader	bit `´	
•		

Figure 13h



10/692,067 Docket # 36194/42366 34 / 62 To 13k tbl_customers account <u>char(8)</u> <pk> <fk> char(3) office_code From password varchar(10) varchar(100) email 13m char(9) ssn notification_method tinyint bit web access bit web_trading sell_only bit invalid_email bit statements_online bit session_timeout int login_fails int datetime last_access From proxy_delivery_status tinyint 13i varchar(4) proxy_access_pin activation date smalldatetime varchar(6) activated_by ivr_pin varchar(4) bit day_trader ivr lockout bit datetime last_updated voice_callback varchar(12) char(4) agreement_status datetime deactivation_datetime smallint deactivation_reason_id allow_association_flg bit account_alias varchar(25) scottrader_elite_permissions int int elite_max_level1_symbols elite max level2_symbols int From 13k From 131 Figure 13j

System And Method For The Automated Brokerage

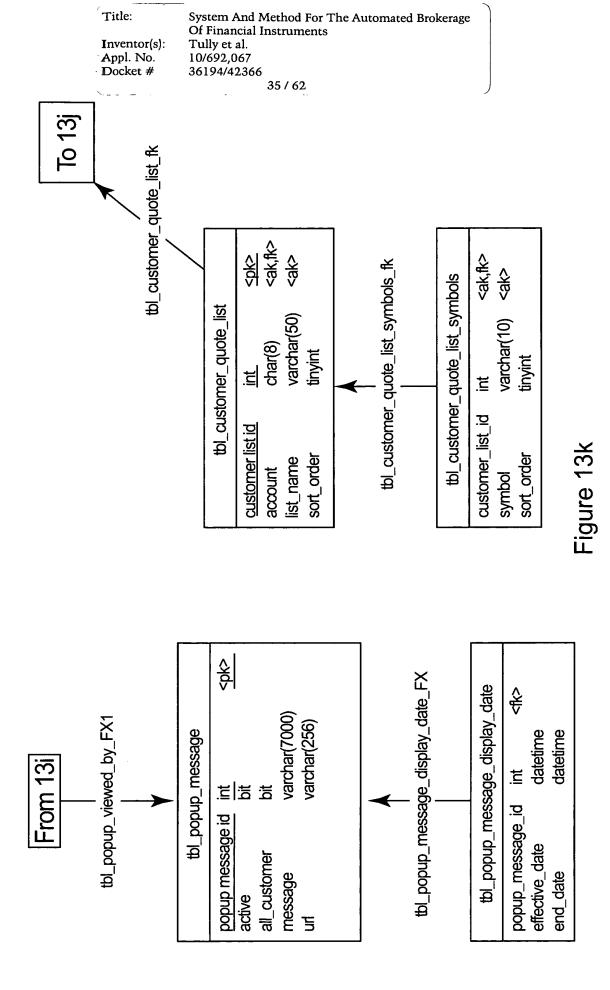
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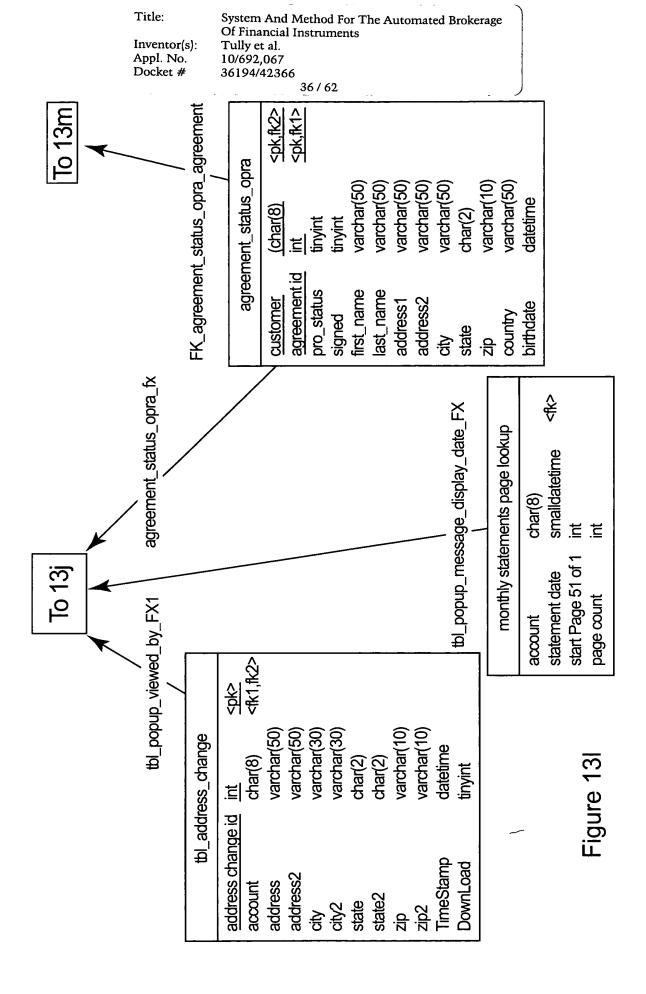
Tully et al.

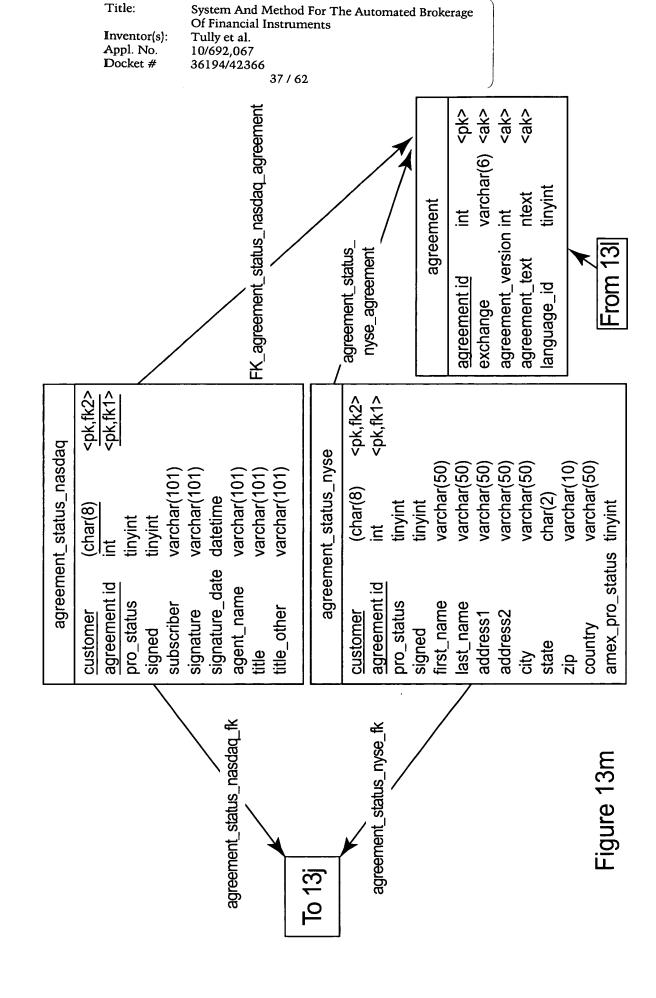
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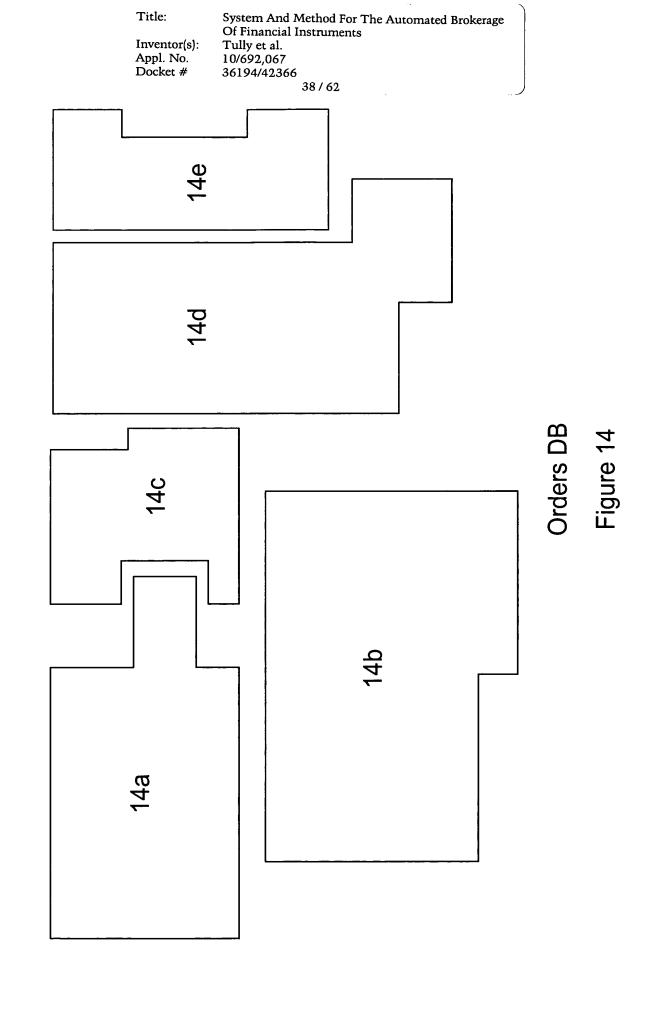
Inventor(s):

Appl. No.









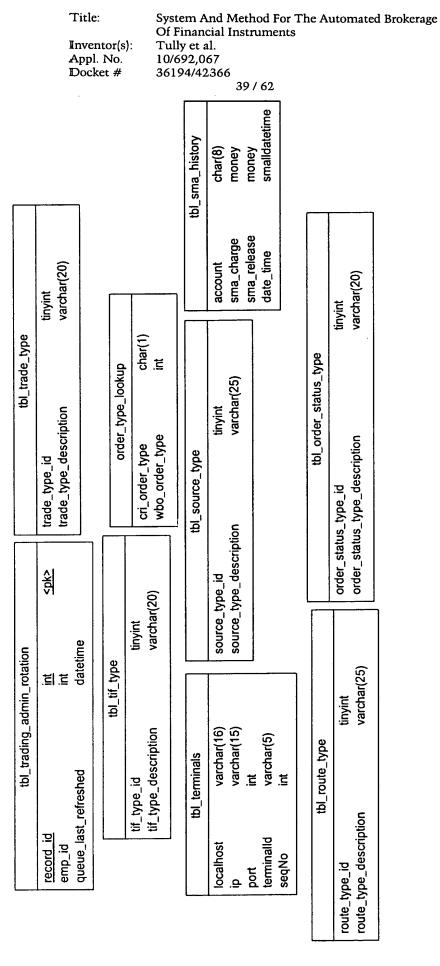


Figure 14a

10/692,067 36194/42366 Appl. No. Docket # 40 / 62 FK_5bl_orders_tbl_action_type 송 \$ tinyint tinyint varchar(12) varchar(10) varchar(12) char(15) char(15) char(8) char(3) money money tinyint tinyint linyint tinyint tinyint inyint tbl_orders To Figure 14(d) orig_web_tracking_number web tracking number trading_session_type fix_tracking_number possible_duplicate minimum_quantity exec_destination referral_program account_type quantity_filled branch_code order_status commission action_type route_type order_type price_type stop_price limit_price quantity tif_type account symbol aon 듛 varchar(255) varchar(16) varchar(16) varchar(15) datetime money tbl_orders_audit

daytrader_execution_amount

available_buying_power

query_string

ip_address

localhost

entry_time

trade_balance

market_value

buying_power

fed_call

open_amount

net_equity

amonnt

open_shares

executions

free_cash

positions_shares

source_type

entry_time

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web_tracking_number reviewing_broker_id

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numeric(15,3) numeric(15,3) smalldatetime smalldatetime smalldatetime varchar(50) varchar(30) money money money money money tbl_trade_history account_type_id last_modified trade_number settled_date commission description trade_date action_id principal tax interest quantity symbol price fees

tinyint tinyint varchar(500) datetime varchar(15) tbl_order_results web_tracking_number result_type result_from_type message time_stamp

Figure 14c

tmp_execution_times tbl_rejection_reasons char(15) web_tracking_number web_tracking_number char(15) entry_time datetime varchar(500) rejection_reason datetime exec_time exec_ms int tbl_orders_pending tbl_orders_pending_jk char(15) web_tracking_number char(15) char(8) web_tracking_number account tinyint account char(8) route_type tinyint datetime route_type time_lock datetime time_lock assigned_emp_id int assigned_emp_id int working_emp_id int entry_time datetime working_emp_id int datetime entry_time tbl_order_reconcile_CRI tbl_executions_action_type char(15) web_tracking_number fix_tracking_number char(15) action_type tinyint char(8) description varchar(20) account tinyint order_type entry_time datetime tbl_order_reconcile_WBO web tracking number char(15) <u><pk></u> fix_tracking_number char(15) account char(8) order_type tinyint datetime entry_time tbl_action_type action type <u>tinyint</u> <u><pk></u> varchar(20) description From FK_tbl_executions_tbl_action_type Figure 14(b) tbl_executions varchar(15) web_tracking_number varchar(8) account tinyint account_type action_type tinyint <fk> quantity int symbol varchar(20) price money tinyint price_type datetime date_time leaves_quantity int

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Figure 14d

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varchar(30)

trading_session_type_description

trading_session_type_id

tinyint

tbl_trading_session_type

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varchar(15) varchar(8) datetime datetime smallint smallint tinyint tbl_orders_pending_dr ordex_counts ヹヹヹヹ web_tracking_number assigned_emp_id working_emp_id

Figure 14e

왕 int varchar(20) account_type account_type_name account type id

왕

<u>datetime</u> int

executions_filled

rpt date

ivr_executions ivr_equities ivr_options

executions ivr_orders

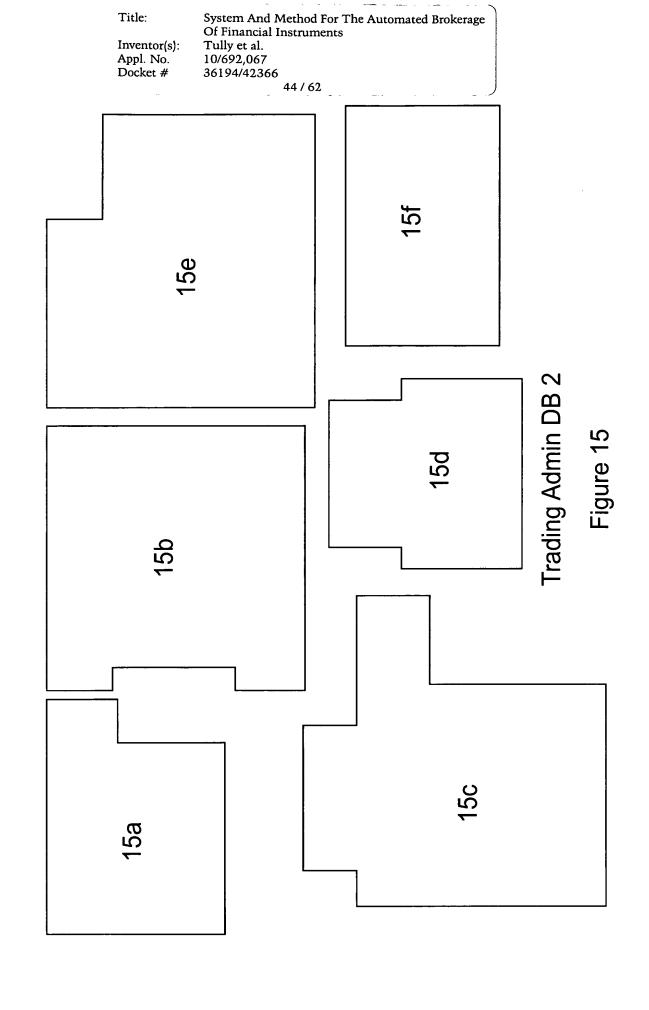
orders

entry_time

route_type time_lock

locked

account



<u>ˈ</u> ci	tbl_restrictions_audit int varchar(30) datetime varchar(256) datetime varchar(30) varchar(26) datetime	<u></u>	tbl_r name value data_type date_changed changed_by	tbl_restrictions varchar(30) varchar(256) tinyint datetime varchar(30)		Title: System And Of Financia Inventor(s): Tully et al. Appl. No. 10/692,067 Docket # 36194/4236
	varchar(256) datetime					
tbl_fix_branches	Ш	tbl_d¢	tbl_daily_security_load_staging	jing		45 / 62
char(3) varchar(15) int	(15)	DataColumn	varchar(30)			
varchar(20)	(20)	#	tbl_daily_security_list			
int varchar(6) varchar(4) int int	(6) (6) (4)	cusip symbol margin_flag last_known_price	char(9) varchar(7) bit ce money	(2))	

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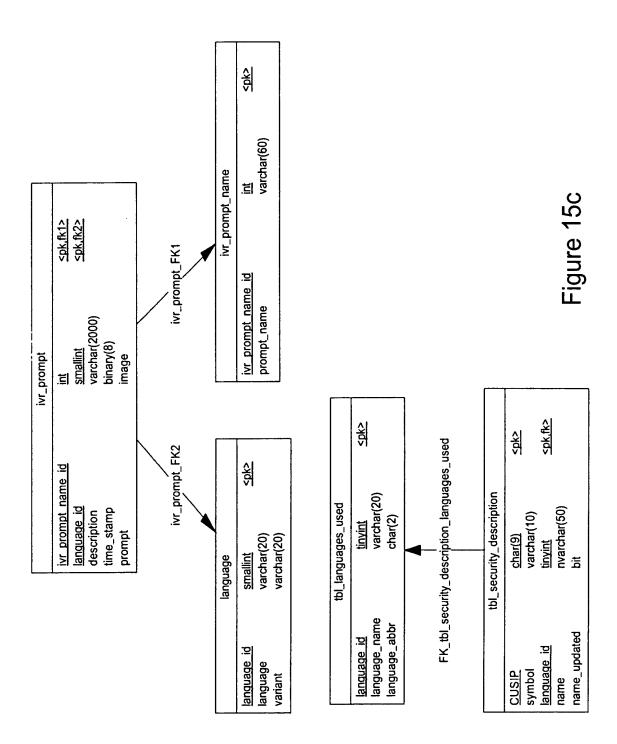
tinyint varchar(25) tbl_notification_method_type notification_method_type_id notification_method_type_description

] [tbl_negative_quantities	
negative quantities id	ţ	쇵
account	char(8)	
office_code	char(3)	
message	varchar(50)	
acknowledge	tinyint	
date_time	smalldatetime	

security_update_from_SQL1	_SQL1
symbol	varchar(9)
route	tinyint
trade_during_extended_hours	p it
option_chain_disallowed	bit
margin_requirement_percent	tinyint
trading_action_bitmask	tinyint

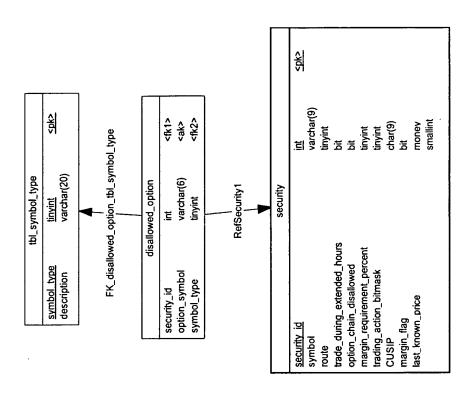
tbl_shor	tbl_short_archive	
shorts archive id	. : [SK SK
cusip	char(10)	
description	varchar(60)	
symbol	varchar(10)	
total_shares_available_for_short	int	
processed_date	smalldatetime	

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쑝 웕 smalldatetime char(1) char(10) varchar(54) char(12) int char(8) varchar(10) char(1) account_cookie char(8) datetime int datetime varchar(100) varchar(100) char(10)
varchar(60)
varchar(10)
int
smalldatetime tbl_message_center account cookie_date tbl_short_staging tbl_short message_center_id message_date flename link_text date
bype
cusip
description
total shares_available_for_short
total_shares_available_for_short
lextdate
symbol
negative_quantity cusip description symbol total_shares_avallable_for_short processed_date account_type account_type_id account_type_name char(15)
tinyint
bit
varchar(50)
datetime char(15) tinyint tinyint smalldatetime tbl_message_history tbl_messages_pending web_tracking_number message_id completed reason entry_time web_tracking_number message_id attempts_remaining last_attempt convert_open_orders branch char(3) fix_branch sis_branch char(15)
tinyint
tinyint
smalldatetime tbl_messages_pending_old char(8) tinyint datetime datetime money tbl_fix_branches_sequence_no tbl_messages char(3) int deposits account_type trade_date settled_date deposit_amount web_tracking_number message_id attempts_remaining last_attempt branch sequence_no

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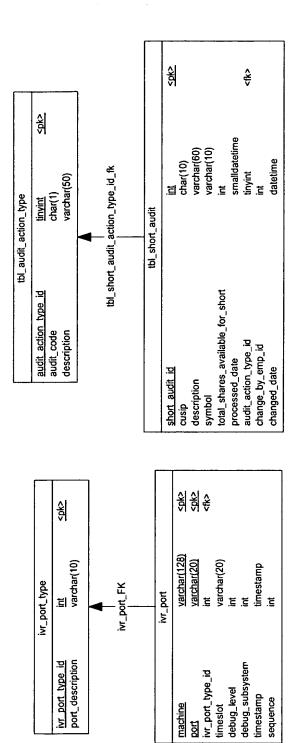
Title:

Inventor(s): Appl. No. Docket #

Figure 15e

Title: System And Method For The Automated Brokerage Of Financial Instruments

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Inventor(s): Appl. No. Docket #

M Day N bbreer Brief	Orders: 2 N = New ORder: M = Modify Order: X = Cancel Order 10/14/2003 3:36	Disable Auto Refresh (2-2) (disable Auto Refresh to enable Flush Queue option)	Approval (Group) Refresh	Do Not Use Browser Back/Forward Buttons	Trading (jdoe) Admin	listory a 3:36:48 PN Flush	how [15] Done	ng control lush Sl 10/1 Brief	mergency Fl	Option Admi Buttons Farage of Assigned bbreer bbreer	Hunin Forward Refresh Action N	Habel A Back/ Back/ Imbol A Back/ TIF TIF Day	owser al (Gro	(Hide) Not Use Br Approv Approv Symbol Symbol AMRBM	Do Do Queue option Quantity	roup Appro (2-2) nable Flush (N = N Aarket Side sell to Open	Auto Refresh to & Account Marcount Marco	
	AccountMarket SideQuantitySymbolPriceTIFActionAssignedWorkingDisplayDone55822397Sell to Open1AMRBMMDayNbbreerBriefDone	N = New ORder: M = Modify Order: X = Cancel OrderAccountMarket SideQuantitySymbolPriceTIFActionAssignedWorkingDisplay55822397Sell to Open1.AMRBMMDayNbbreerBrie	Auto Refresh (2-2) Auto Refresh to enable Flush Queue option) N = New ORder : M = Modify Order : X = Cancel Order Account Market Side Quantity Symbol Price TIF Action Assigned Working Display S5822397 Sell to Open 1 AMRBM M Day N bbreer Brief	ble Auto Refresh (2-2) Auto Refresh to enable Flush Queue option) Account Market Side Quantity Symbol Price TIF Action New Order: Market Side Quantity Symbol New Order: Market Side Quantity Symbol New Order: Market Side Quantity Symbol Price TIF Action Assigned Working Display Symbol New Order: Market Side Quantity Symbol Price TIF Action Assigned Working Display Signature Side Quantity Symbol New Order: Market Side Quantity Symbol Price TIF Action Assigned Working Display Signature Side Quantity Symbol New Order: Market Side Quantity Symbol Price TIF Action Assigned Working Display Signature Side Quantity Symbol Price TIF Action New Order: Market Side Symbol Price TIF Action New Order: Mar	O Indiv © Group Approval Queue (Hide) Symbol Admin Option Admin Trading control Hamber Hamber Approval (Group) Refresh Approval (Group) Refresh Auto Refresh to enable Flush Queue option) Auto Refresh to enable Flush Queue option) Account Market Side Quantity Symbol Price TIF Action Assigned Working Display Done Account Market Side Quantity Symbol Price TIF Action Assigned Working Display Done Account Amre Side Amre Side		Done	Brief		rdenning	2	Dav	≥	BKKG	"	739 Sell to Onen	76631739 S	7
		N = New ORder : M = Modify Order : X = Cancel Order	ble Auto Refresh (2-2) Auto Refresh to enable Flush Queue option) $N = \text{New ORder}: M = \text{Modify Order}: X = \text{Cancel Order}$	Approval (Group) Refresh ble Auto Refresh (2-2) Auto Refresh to enable Flush Queue option) N = New ORder: M = Modify Order: X = Cancel Order	O Indiv © Group Approval Queue (Hide) Symbol Admin Option Admin Trading control of Not Use Browser Back/Forward Buttons Approval (Group) Refresh Auto Refresh to enable Flush Queue option) N = New ORder : M = Modify Order : X = Cancel Order	ω Τ	Done	Display	Working	Assigned	Action	TIF	Price	Symbol		Aarket Side		
ble Auto Refresh (2-2) Account Market Side Quantity Symbol Price TIF Action Assigned Working Display	Vot Use Browser Back/Forward Buttons Approval (Group) Refresh Emergency Flush	Do Not Use Browser Back/Forward Buttons Approval (Group) Refresh	Do Not Use Browser Back/Forward Buttons			listory		ing control		Option Admi	_	A lodu	S	(Hide)	val Queue	roup Appro	Indiv © G	

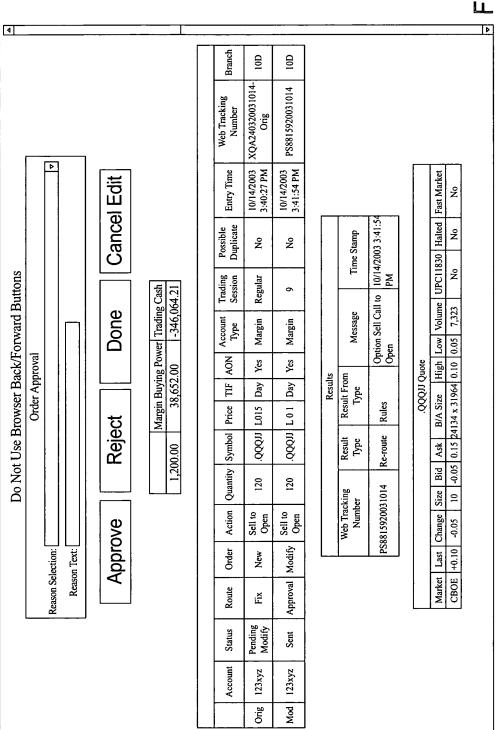
Title: System And Method For The Automated Brokerage

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Figure 16b



System And Method For The Automated Brokerage Of Financial Instruments

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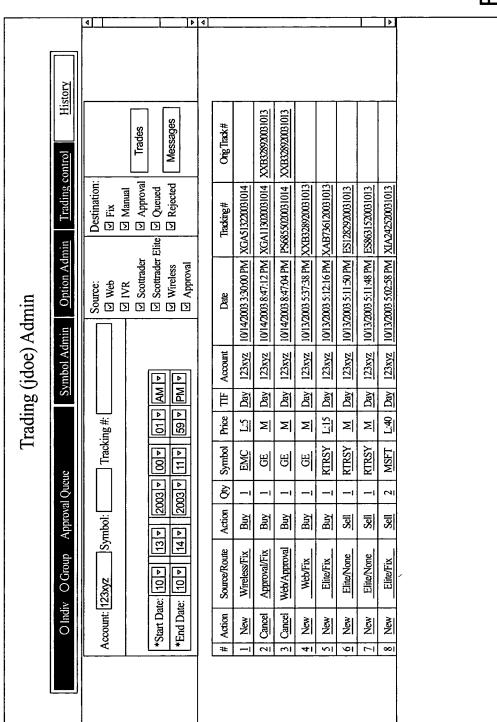
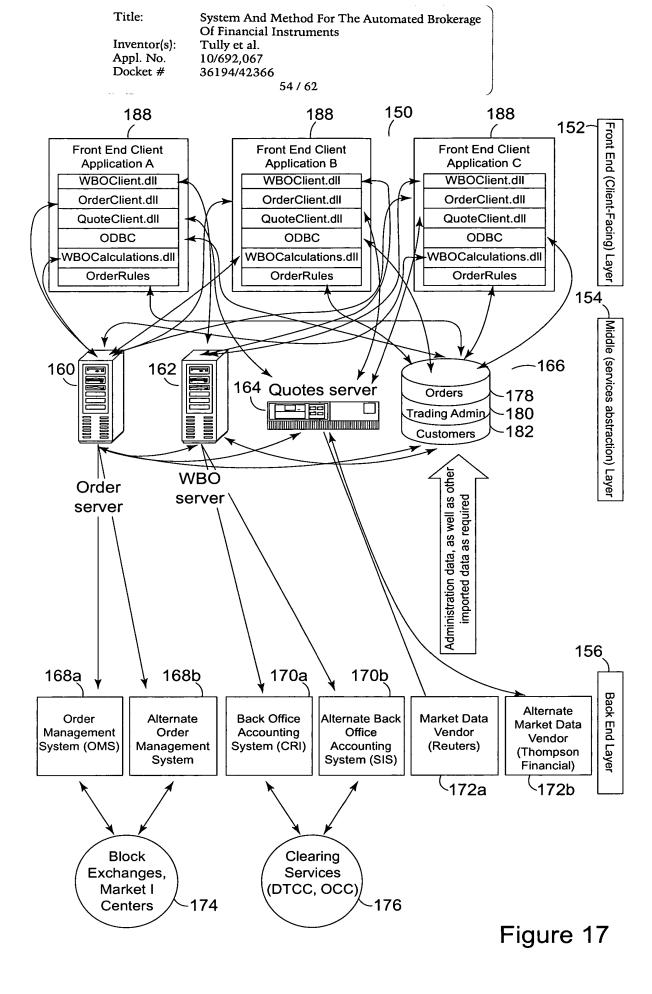
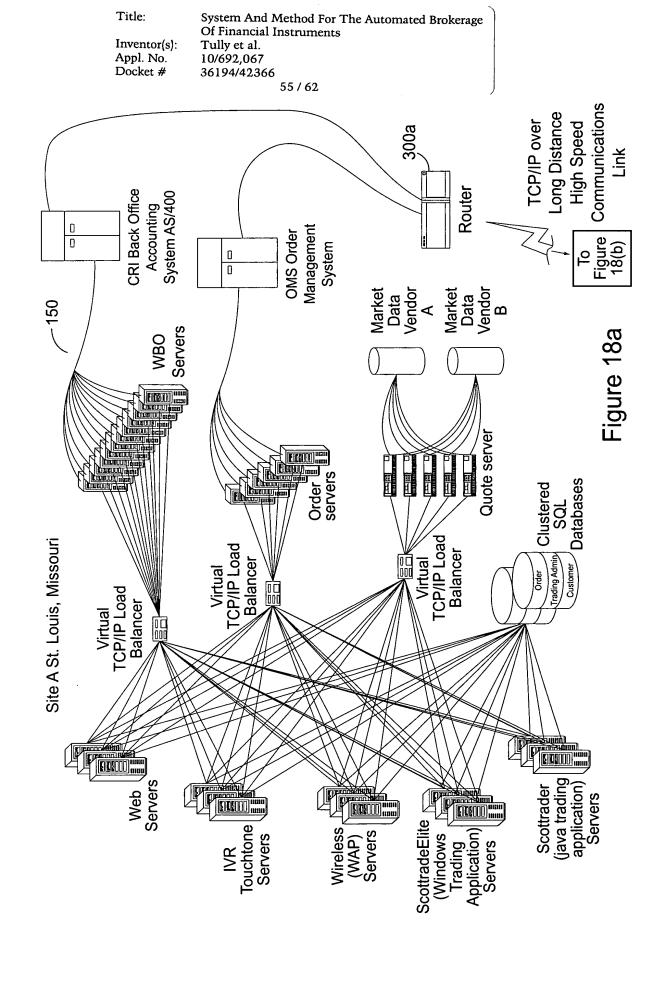


Figure 16c





Inventor(s): Appl. No. Docket # 10/692,067 36194/42366 56 / 62 Long Distance TCP/IP over Figure 18b Link 300b Router From Figure 18(b) Market Data Vendor B Market Data Vendor A Servers WBO Order Quote server Clustered SQL Databases Virtual TCP/IP Load Balancer Virtual TCP/IP Load Balancer rading Admin Virtual TCP/IP Load Balancer 154 Scottrade (java trading application) Web (Principal Maria 152 Touchtone Servers Wireless (WAP) Servers Trading Application) Servers

System And Method For The Automated Brokerage Of Financial Instruments

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Quote Server	
etup View Dump Outstanding Requests	
Quote Source: ATFI Level 2 Source: None Fundamentals Source: ATFI News Source: None History Source: ATFI Cache Cache Size: 0 Historical Cache Size: 0	Stream Connections Connections: 0 Update P/S: 0.00 Symbols: 0 Threads Request Handler Idle Time: 100% Update Handler Idle Time: 34% Stream Handler Idle Time: 23% HIstory Updater Idle Time: 100%
Cache Hits: 0% Historical Cache Hits: 0%	ATFI Request Handler Idle: 100% Incoming Bytes: 0.0 kb
Tick: 163266 Quote: 1200179 Movers: 1580	Outgoing Bytes: 0.0 kb Average Response Size: 56 bytes Average Time 0 ms
Level 2: 0 Refresh: 24256 News Static Equity: 540654 Options: 816789 Index: 30175 Mutual Fund: 0 Money Market: 0 Fixed Income: 0 Bonds: 84 Other: 1580	Server CPU: 22% Available Memory: 84 mb Connections: 10 Outstanding Requests: 0 Total Requests: 50 Historical Requests: 0 Round Trips: 0 Requests Per Second: 0.00
Updates Per Second: 4070.00	Cache Updates: 115 Stream Updates: 31 Historic Updates: 0

Figure 19a

Inventor(s): Appl. No. Docket #

Configure					×
Quote Source: ATFI	▽	Restart	✓ Cache	✓ Cache Mo	vers
Level2 Source: Bridge		Restart			
Fundamentals Source: ATFI	▽	Restart			
News Source: None	▽	Restart			
History Source: ATFI	▽	Restart	☑ Cache		
Request Handler Threads:	30	+	-		
Update Handler Threads:	20	+	-		- 1
Stream Update Threads:	20	+	-		
History Update Threads:	10	+	-		
Security Cache Expiration: 360	00	Option C	chain Expiratio	n: 3600	
Movers Cache Expiration: 30		Company	Data Expiratio	n: 1800	
r- ATFI					
Ip: ATF15		Apply	MDS Connecti	ons: 1	
Request Handler Threads: 12	+	- DB	M Connection	ns: 11	+
0					
General Socket Source: Async	∀	Stop	Restart]	
-		Г	Desp All	, 	
Max connections: 100		L	Drop Ali]	
┌ General			*		
lp:		<u> </u>			_
			OK	Cancel	

Figure 19b

System And Method For The Automated Brokerage Of Financial Instruments
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Inventor(s): Appl. No. Docket #

Configure
Quote Source: ATFI ▼ Restart ✓ Cache ✓ Cache Movers
Level2 Source: None ▼ Restart
Fundamentals Source: ATFI Restart
None Restart News Source: None History Source: ATFI Restart Cache
General Testait General
Request Handler Threads: 30 + -
Update Handler Threads: 20 + -
Stream Update Threads: 20 + -
History Update Threads: + -
Security Cache Expiration: 3600 Option Chain Expiration: 3600 Movers Cache Expiration: 30 Company Data Expiration: 1800
ATFI Apply MDS Connections: 1
Ip: ATF15 Apply MDS Connections: 1
Request Handler Threads: 12 + - DBM Connections: 11 +
r General
Socket Source: Async Stop Restart Restart
Max connections: 100 Drop All
General————————————————————————————————————
lp: OK Cancel

Figure 19c

Title: System And Method For The Automated Brokerage Of Financial Instruments

Inventor(s): Tully et al.
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 $|\mathbf{x}|$ Configure Quote Source: ATFI Restart ☑ Cache ✓ Cache Movers Level2 Source: None ⊽ Restart Fundamentals Source: ATFI ∇ Restart News Source: Restart Bridge None History Source: ATFT Restart General -30 Request Handler Threads: 20 Update Handler Threads: 20 Stream Update Threads: History Update Threads: 10 Option Chain Expiration: 3600 Security Cache Expiration: 3600 Company Data Expiration: 1800 Movers Cache Expiration: |30 - ATFI-ATF15 MDS Connections: Apply lp: DBM Connections: 11 Request Handler Threads: |12 -General-Stop Restart ಶ Async Socket Source: Drop All Max connections: |100 Generallp: OK Cancel

Figure 19d

Inventor(s): Appl. No. Docket #

Configure		[]
Quote Source: ATFI	▽	Restart
Level2 Source: None	▽	Restart
Fundamentals Source: ATFI	▽	Restart
News Source: None	▽	Restart
History Source: Bridge		Restart
None		
Request Handler Threads:	30	
Update Handler Threads:	20	+ -
Stream Update Threads:	20	+ -
History Update Threads:	10	+ -
Security Cache Expiration: 360		Option Chain Expiration: 3600 Company Data Expiration: 1800
Movers Cache Expiration: 30		Company Data Expiration. 1888
r ATFI		
Ip: ATF15		Apply MDS Connections: 1
Request Handler Threads: 12	+	- DBM Connections: 11 +
- General	A44.1	
Socket Source: Async	⊽	Stop Restart
Max connections: 100		Drop All
- General		
lp:		OK Cancel

Figure 19e

Inventor(s): Appl. No. Docket #

Configure
Quote Source: ATFI ▼ Restart ✓ Cache ✓ Cache Movers
Level2 Source: None Restart
Fundamentals Source: ATFI Restart
News Source: None Restart
History Source: ATFI ✓ Restart ✓ Cache
Request Handler Thre None + -
Update Handler Threads: 20 + -
Stream Update Threads: 20 + -
History Update Threads: 10 + -
Security Cache Expiration: 3600 Option Chain Expiration: 3600 Movers Cache Expiration: 30 Company Data Expiration: 1800
ATFI Ip: ATF15 Apply MDS Connections: 1 Request Handler Threads: 12 + - DBM Connections: 11 +
General Socket Source: Async Max connections: 100 Drop All
General

Figure 19f